

## MRDDA Contract Administration

<b>Policy and Procedure Number:</b> CA105	<b>Title:</b> Managing Documents
<b>Effective Date:</b> April 18, 2003	<b>Revision Number:</b> 0.0
<b>Approvals:</b> Bureau Chief of Contract Administration	<b>Page</b> 1 of 1

**1.0 Policy** The Bureau Chief of Contract Administration shall comply with all MRDDA and DHS specified record keeping requirements, including maintaining records for a minimum of five (5) years.

**2.0 Scope** The scope of this document is to establish the Contract Administration processes for managing documents. The Managing Documents process shall involve all members of the Bureau of Contract Administration.

### **3.0 Procedures**

- 3.0 All files containing Contract Administration documents shall be kept in a secure location and controls shall be established to allow access by authorized personnel only.
  - 3.1.1 When documents are removed from the file location, the person removing the files shall update the file maintenance log with the file name, date of removal and the person in possession of the file. When documents are returned to the file, the file log sheet shall be updated to reflect the date returned. (See sample File Maintenance Log attached)
  - 3.1.2 A document tracking matrix shall be used to record the dates Contract Administration documents are issued and received. (See sample Managing Tracking Documents Spreadsheet attached)
- 3.2 Contract Administration policies and procedures shall be adhered to regarding document reviews and approvals, turn-around times and content.
- 3.3 Contract files shall be clearly labeled with contractor name, contract number and fiscal year headings.
- 3.4 Document addendums and modifications shall be clearly marked with the revision date, a sequenced change number and whether the document is under review or has been formally approved.
- 3.5 At a minimum, the contract file shall contain the following sections:

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## **1.0 File Index**

- 1.1 Document tracking matrix

## **2.0 Contract Administration**

- 2.1 Human Care Agreement (HCA)
  - 2.1.1 Task Order Release Request
  - 2.1.2 Task Order Release Approval
  - 2.1.3 3-in-1 Form
- 2.2 Request For Proposals (RFP)
  - 2.2.1 Scope of Services
  - 2.2.2 List of providers
  - 2.2.3 Evaluation criteria
  - 2.2.4 Independent cost estimate
  - 2.2.5 3-in-1 approvals
  - 2.2.6 RFP
  - 2.2.7 RFP responses
  - 2.2.8 OCP competitive range
  - 2.2.9 Negotiation Plan
  - 2.2.10 Best and Final Offers
  - 2.2.11 Negotiation results
  - 2.2.12 Basis of award selection (criteria and rankings)
  - 2.2.13 OCP signed contract
  - 2.2.14 Miscellaneous correspondence
- 2.3 Invoice
  - 2.3.1 Signed invoices
  - 2.3.2 Direct payments (reasons)
  - 2.3.3 Invoice dispute issue/resolution documents
  - 2.3.4 Payback schedule
  - 2.3.5 Provider response
  - 2.3.6 Bureau Chief of Contract Administration approved certification
  - 2.3.7 Miscellaneous correspondence

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### 2.4 Contract Modifications

- 2.4.1 Contract modification justification
- 2.4.2 Contract modification request
- 2.4.3 Written provider proposal
- 2.4.4 Contract modification budget estimate
- 2.4.5 3-in-1 form
- 2.4.6 Bureau Chief of Contract Administration and/or Budget Office 3-in-1 rejections
- 2.4.7 Bureau Chief of Contract Administration and Budget Office approvals
- 2.4.8 Approved (OCP signed) contract modification

### 2.5 Contract Options

- 2.5.1 Contract options notification
- 2.5.2 Contract options justification
- 2.5.3 Contract Performance Report
- 2.5.4 3-in-1 form
- 2.5.5 Bureau Chief of Contract Administration and/or Budget Office 3-in-1 rejections
- 2.5.6 Bureau Chief of Contract Administration and Budget Office approvals
- 2.5.7 Contract option clause and pricing

### 2.6 Emergency Procurements

- 2.6.1 Procurement request
- 2.6.2 Emergency justification, scope of work, provider list
- 2.6.3 Cover memo, 3-in-1 form
- 2.6.4 CAPA
- 2.6.5 Negotiation memorandum
- 2.6.6 D&F

### 2.7 Disputes

- 2.7.1 Written documentation of invoice disputes
- 2.7.2 Provider response with cost and pricing estimates
- 2.7.3 Certifications, invoice, supporting documentation
- 2.7.4 Notice of non-compliance
- 2.7.5 Written documentation of non-compliance
- 2.7.6 Bureau Chief of Contract Administration Statement of Fact

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### **3.0 Providers**

#### 3.1 New Provider Qualification

- 3.1.1 Request for Qualification
- 3.1.2 On-site Audit Plan
- 3.1.3 On-site Audit Report
- 3.1.4 Provider response
- 3.1.5 Provider Corrective and Preventive Action Plans
- 3.1.6 Qualification approval or denial
- 3.1.7 Miscellaneous correspondence

#### 3.2 Provider Monitoring

- 3.2.1 Annual Audit Plan with proposed quarterly audit schedule
- 3.2.2 Contractor Performance Review
- 3.2.3 Audit Report
- 3.2.4 Provider Response and/or Corrective/Preventive Action Plan
- 3.2.5 Corrective/Preventive Action Plan approval or denial
- 3.2.6 Validation document from three (3) month follow up visit of approved plans
- 3.2.7 Miscellaneous correspondence

### **4.0 Budgets**

- 4.1 Contract requirements input for inclusion in baseline budget
- 4.2 Proposed baseline budget review, constraints with impact statements
- 4.3 Fund allocations based on prioritized programs/contracts
- 4.4 Supplemental budget(s)
- 4.5 Approved budgets
- 4.6 Miscellaneous correspondence

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### **5.0 Organization**

- 5.1 Mission Statement
- 5.2 Bureau Objectives and Metrics
- 5.3 Monthly reports
- 5.4 Performance appraisals (held in confidential, restricted access file)
- 5.5 Organization structure
- 5.6 Up-to-date policies and procedures
- 5.7 Training schedules
- 5.8 Resource library
- 5.9 Customer feedback surveys

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